

(1) The name, main business address and main business telephone number of the person applying for an order;

(2) The capacity in which the person is registered with the Securities and Exchange Commission and the person's CRD number (if a member of the National Association of Securities Dealers, Inc.) or equivalent self-regulatory organization identification, together with a certification, if true, that the person's registration is not suspended pursuant to an order of the Securities and Exchange Commission;

(3) The particular section(s) of the Act and/or provision(s) of the Commission's regulations with respect to which the person seeks exemption;

(4) Any provision(s) of the securities laws or rules, or of the rules of a securities self-regulatory organization analogous to the provision(s);

(5) A clear explanation of the facts and circumstances under which the person believes that the requested exemptive relief is necessary or appropriate in the public interest; and

(6) A clear explanation of the extent to which the requested exemptive relief is consistent with the protection of investors.

(c) A national securities exchange or other securities industry self-regulatory organization may submit an application for an order pursuant to this section on behalf of its members.

(d) An application for an order must be submitted to the Director of the Division of Trading and Markets, Commodity Futures Trading Commission, 1155 21st Street, NW., Washington, DC 20581, if in paper form, or to tm@cftc.gov if submitted via electronic mail.

(e) The Commission may, in its sole discretion, grant the application, deny the application, decline to entertain the application, or grant the application subject to one or more conditions.

[66 FR 43086, Aug. 17, 2001]

PART 100—DELIVERY PERIOD REQUIRED

AUTHORITY: 7 U.S.C. 7a(a)(4) and 12a.

§ 100.1 Delivery period required with respect to certain grains.

A period of seven business days is required during which contracts for future delivery in the current delivery month of wheat, corn, oats, barley, rye, or flaxseed may be settled by delivery of the actual cash commodity after trading in such contracts has ceased, for each delivery month after May 1938, on all contract markets on which there is trading in futures in any of such commodities, and such contract markets, and each of them, are directed to provide therefor.

[41 FR 3211, Jan. 21, 1976]

PART 140—ORGANIZATION, FUNCTIONS, AND PROCEDURES OF THE COMMISSION

Subpart A—Organization

Sec.

140.1 Headquarters office.

140.2 Regional offices—Regional directors.

Subpart B—Functions

140.10 The Commission.

140.11 Emergency action by the senior Commissioner available.

140.12 Disposition of business by seriatim Commission consideration.

140.13 Vacancy in position of Chairman.

140.14 Delegation of authority to the Secretary of the Commission.

140.20 Designation of senior official to oversee Commission use of national security information.

140.21 Definitions.

140.22 Procedures.

140.23 General access requirements.

140.24 Control and accountability procedures.

140.61 [Reserved]

140.72 Delegation of authority to disclose confidential information to a contract market, registered futures association or self-regulatory organization.

140.73 Delegation of authority to disclose information to United States, States, and foreign government agencies and foreign futures authorities.

140.74 Delegation of authority to issue special calls for Series 03 Reports and Form 40.

140.75 Delegation of authority to the Director of the Division of Trading and Markets.

140.76 Delegation of authority to disclose information in a receivership or bankruptcy proceeding.